



03-31-03

3624

Attorney Docket No. CF/046

Applicant : Andrew C. Gilbert
Application No. : 10/042,371 Confirmation No.: 6761
Filed : December 27, 2001
For : SYSTEMS AND METHODS FOR CREATING AND
TRADING DYNAMIC SECURITIES
Group Art Unit : 3624

New York, New York 10020
March 27, 2003

Hon. Commissioner for Patents
P.O. Box 2327
Arlington, VA 22202

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Date of Deposit March 27, 2003

I hereby certify that this paper/fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Hon. Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202.

A handwritten signature in black ink, appearing to read "Christopher J. Sauer", is written over a solid horizontal line.

Encl:

- Information Disclosure Statement (2 pp.)
- Form PTO-1449 (1 p. - in duplicate); and
- A Copy Of One (1) Cited Reference.



#17 8/4/03 AW

PATENTS
CF-46

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Andrew C. Gilbert

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INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicant hereby makes the following document of record in the above-identified patent application:

Foreign Patent Document

WO 01/33316 A2 PCT (05/10/01)

A copy of the aforementioned document, which is listed on the accompanying Form PTO-1449 (submitted in duplicate), is enclosed herewith.

It is respectfully requested that this document be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application. Applicant

requests that a copy of Form PTO-1449, as considered and initialled by the Examiner, be returned with the next communication.

Because this Supplemental Information Disclosure Statement is being filed within three months of the application filing date, no fee is believed due pursuant to 37 C.F.R. § 1.97(b)(1). However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

An early and favorable action is respectfully requested.

Respectfully submitted,



Joel Weiss
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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-46	APPLICATION NO. 10/042,371
O I P E INFORMATION DISCLOSURE STATEMENT BY APPLICANTS		APPLICANTS Andrew C. Gilbert	CONFIRMATION NO. 6761
		FILING DATE December 27, 2001	RECEIVED APR 10 2004 3624

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 01/33316 A2	05/10/01	PCT	G06F			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.